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Commissioner for Patents
Washington, DC 20231
ATTN: BOX PATENT APPLICATION

UTILITY
PATENT APPLICATION
TRANSMITTAL
Docket No.: 00-849
Date: December 17, 2001

Sheet 1 of 2

U.S. Express Mail Label No.: EL744442068US

Inventor Name(s):
CHARLES W. BUCEY; TIMOTHY A. BOOTH; STEVEN W. CLAYTON; AND ROBERT M. JONES

Title:
APPARATUS AND METHOD FOR TESTING A RECUPERATOR CORE FOR LEAKAGE

☒ Fee Transmittal Form Attached in Duplicate
☒ Specification and Claim(s) [Total Pages 13]
☒ Drawing(s) [Total Sheets 3]
FORMAL

Declaration [Total Pages 4]

☒ Newly Executed (Original or Copy)
☐ Copy From Prior Application (37 CFR § 1.63(d))
☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))
(Signed Statement Attached)
☒ Assignment Papers (Cover Sheet and Document(s))
☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney
☐ English Translation Document (if applicable)
☒ Information Disclosure Statement (IDS)/PTO-1449
☒ Copies of IDS Citations
☐ Preliminary Amendment
☒ Return Receipt Postcard (Specifically Itemized)
☐ Certified Copy of Priority Document(s)
☐ Other

12/17/01

1002 U.S. PRO

10023585-121701

If a Continuing Application

☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP)

of prior Application No.: ;

Examiner: ; and

Group/Art Unit:

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

719

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

Attorney/Agent: Larry G. Cain

Registration No.: 31,150

Signature: Larry G. Cain

Caterpillar Inc.

Date: December 17, 2001

12/17/01



PTO/SB/17 (10-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$)

740

Complete if Known

Application Number	(Unassigned)
Filing Date	(Herewith)
First Named Inventor	Charles W. Bucey ET AL.
Examiner Name	(Unassigned)
Group Art Unit	(Unassigned)
Attorney Docket No.	00-849

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to.

Deposit Account Number: 03-1129
 Deposit Account Name:

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Appointee claims small entity status See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)					
101	740	201	370		Utility filing fee	740
106	330	206	165		Design filing fee	
107	510	207	255		Plant filing fee	
108	740	208	370		Reissue filing fee	
114	160	214	80		Provisional filing fee	

SUBTOTAL (1) (\$)

740

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
Independent Claims	20** = 0	X 19	0
Multiple Dependent Claims	2 - 3** = 0	X 84	0

Large Entity Small Entity

Fee	Fee	Fee	Fee	Fee Description
Code (\$)	Code (\$)	Code (\$)	Code (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

0

**for number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity	Small Entity	Fee	Fee	Fee	Fee Description	Fee Paid
Code (\$)	Code (\$)	Code (\$)	Code (\$)	Code (\$)		
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge - late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2,520	147	2,520		For filing a request for ex parte reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	400	216	200		Extension for reply within second month	
117	920	217	460		Extension for reply within third month	
118	1,440	218	720		Extension for reply within fourth month	
128	1,950	228	980		Extension for reply within fifth month	
119	320	219	160		Notice of Appeal	
120	320	220	160		Filing a brief in support of an appeal	
121	280	221	140		Request for oral hearing	
138	1,510	138	1,510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoltable	
141	1,280	241	640		Petition to revive - unintentional	
142	1,280	242	640		Utility issue fee (or reissue)	
143	460	243	230		Design issue fee	
144	620	244	310		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Processing fee under 37 CFR 1.17(c)	
126	180	126	180		Submission of Information Disclosure Stmt	
581	40	581	40		Recording each patent assignment per property (times number of properties)	
148	740	246	370		Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370		For each additional invention to be examined (37 CFR § 1.128(b))	
179	740	279	370		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

0

SUBMITTED BY

Name (Print/Type) Larry G. Cain

Registration No. (Attorney/Agent)

31,150

Complete (if applicable)

Telephone (309) 675-4922

Signature

Date 12/15/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hour to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.